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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Smith et al.

Atty. Docket No.: PST-10703/36

Serial No.: 10/791,497

Group Art Unit: 3744

Filed: March 2, 2004

Examiner:

For: THERMOACOUSTIC DEVICE

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR BEFORE MAILING  
OF FIRST OFFICE ACTION (37 CFR 1.97(b))**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 CFR 1.97(b).

Date: September 10, 2004

Douglas L. Wathen (Reg. No. 41,369)  
GIFFORD, KRASS et al  
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Birmingham, MI 48009  
FAX 734/913-6007

Tel. No.: 734/913-9300

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CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date September 10, 2004

Ann K. Andrusiak

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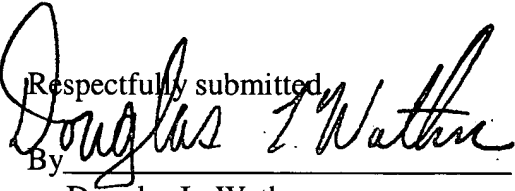
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. §1.56, it is respectfully requested that this Information Disclosure Statement be entered and the references listed on attached Form PTO-1449 be considered by the Examiner and made of record.

In accordance with 37 C.F.R. §1.97(b), this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other possible material information as defined in 37 C.F.R. §1.56(a) exists.

Respectfully submitted,

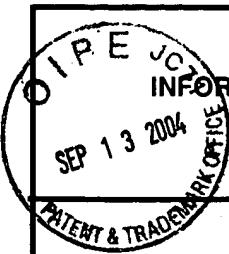
  
By \_\_\_\_\_

Douglas L. Wathen

Reg. No.41,369

Date: September 10, 2004

<div style="position: absolute; top: 0; left: 0; width: 100px; height: 100px; border: 2px solid black; border-radius: 50%; display: flex; align-items: center; justify-content: center; text-align: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">COPY</div> <div style="text-align: center;">             SEP 13 2004              PATENT &amp; TRADEMARK OFFICE           </div> </div> <p><b>INFORMATION DISCLOSURE CITATION</b>  <i>(Use several sheets if necessary)</i></p>				ATTY DOCKET NO. <b>PST-10703/36</b>		APPLICATION NO. <b>10/791,497</b>	
				APPLICANT(S) <b>Smith et al.</b>			
				FILING DATE <b>3/2/2004</b>		GROUP ART UNIT <b>3744</b>	
				<b>U.S. PATENT DOCUMENTS</b>			
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2,549,464	4/1951	Hartley			
		2,836,033	5/1958	Marrison			
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO
		EP0614059 A1	3/1994	Europe			
		EP0678715 A1	4/1994	Europe			
		GB2237866	10/1990	Great Britain			
		WO02/087279 A2	10/2002				
<b>OTHER DOCUMENTS    (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
			Garrett, Steven, "ThermoAcoustic Life Sciences Refrigerator," Oct. 30, 1991, pp 4-43.				
			Ceperley, Peter H., "A pistonless Stirling engine - The traveling wave heat engine," J. Acoust. Soc. Am, 66 (55), Nov. 1979, pp. 1508-1513.				
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			
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## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY DOCKET NO.  
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10/791,497

Smith et al.

FILING  
3/2/2004GROUP ART  
3744

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,513,659	5/1970	Martini	62	6	
	3,548,589	12/1970	Cooke-Yarborough	60	24	
	3,604,821	9/1971	Martini et al.	417	379	
	3,991,585	11/1976	Mulder	62	6	
	4,036,018	7/1977	Beale			

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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						YES	NO

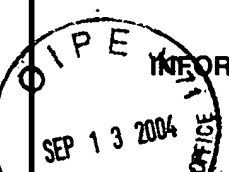
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		Gedeon, David, "DC Gas Flows in Stirling and Pulse Tube Cryocoolers," Cryocoolers 9, Edited by R.G. Ross, Jr., Plenum Press, NY, 1997, pp. 385-392
		Wakelane, Ray Scott, "Use of Electrodynamic Drivers in Thermoacoustic Refrigerators," J. Acoust. Soc. Am. 107(2), Feb. 2000, pp. 827-832.

EXAMINER

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	RE29,518	1/1978	Franklin	60	520	
	4,114,380	9/1978	Ceperley			
	RE30,176	12/1979	Beale	60	520	
	4,355,517	10/1982	Ceperley			
	4,398,398	8/1983	Wheatley et al.			

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**FOREIGN PATENT DOCUMENTS**


		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

		Swift, G.W., Ward, W.C., "Simple Harmonic Analysis of Regenerators," Journal of Thermophysics and Heat Transfer, Vol. 10, No. 4, Oct. - Dec. 1996, pp. 652-662.
		Garrett, S., Perkins, D., Gopinath, A., "ThermoAcoustic Refrigerator Heat Exchangers: Design, Analysis and Fabrication," Physics Dept. - Code PH/Gx, Naval Postgraduate School, Monterey, CA, pp. 375-379.

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,450,685	5/1984	Corey	60	520	
	4,489,553	12/1984	Wheatley et al.			
	4,490,983	1/1985	Gifford et al.			
	4,599,551	7/1986	Wheatley et al.			
	4,625,517	12/1986	Miller			

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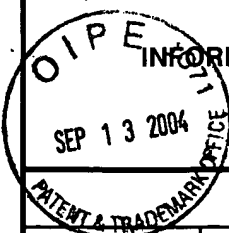
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

			Swift, G., Migliori, A., Wheatley, J., "Liquid Metal Thermoacoustic Engine," Condensed Matter and Thermal Physics Group, Los Alamos National Laboratory, Los Alamos, NM
			Swift, G., "Analysis and Performance of a Large Thermoacoustic Engine," J. Acoust. Soc. Am. 92(3), Sept. 1992, pp. 1551-1563

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**3/2/2004**GROUP ART  
**3744****U.S. PATENT DOCUMENTS**

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	4,686,407	8/1987	Ceperley			
	4,722,201	2/1988	Hofler et al.			
	4,858,441	8/1989	Wheatley et al.			
	4,858,717	8/1989	Trinh et al.			
	4,953,366	9/1990	Swift et al.			

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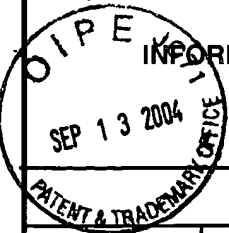
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

			Swift, G., "Thermoacoustic Engines and Refrigerators," Physics Today, Jul. 1995, pp. 22-28
			Swift, G., "Thermoacoustic Engines," Journal of Acoustical Society of America 84(4), Jul. 1988, pp. 1145-1180

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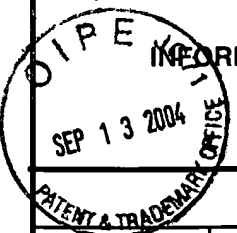
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		5,165,243	11/1992	Bennett				
		5,174,130	12/1992	Lucas				
		5,269,147	12/1993	Ishizaki et al.				
		5,295,355	3/1994	Zhou et al.				
		5,303,555	4/1994	Chrysler et al.				
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
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							YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
		Garrett, S., Adeff, J., Hoffer, T., "Thermoacoustic Refrigerator for Space Applications," Journal of Thermophysics and Heat Transfer, Vol. 7, No. 4, Oct. - Dec. 1993, pp. 595-599						
		Backhaus S., Swift, G., "A Thermoacoustic Stirling Heat Engine," Nature, Vol. 399, May 27, 1999, www. nature.com, pp. 335-338						
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		5,319,938	6/1994	Lucas			
		5,339,640	8/1994	Reinke			
		5,357,757	10/1994	Lucas			
		5,369,625	11/1994	Gabrielson	367	140	
		5,389,844	2/1995	Yarr et al.			

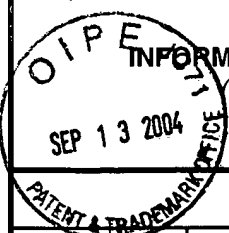
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							YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>			
			Garrett, S., "Reinventing the Engine," Nature, Vol, 399, May 27, 1999, www.nature.com, pp. 303-305
			Backhaus, S., Swift, G., "New Varieties of Thermoacoustic Engines," Condensed Matter and Thermal Physics Group, Los Alamos National Laboratory, Los Alamos, NM, Jul. 2002, pp. 1-8

EXAMINER	DATE CONSIDERED
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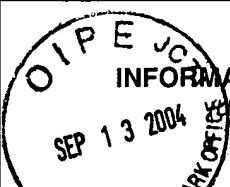
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		5,456,082	10/1995	Keolian et al.				
		5,502,968	4/1996	Beale				
		5,515,684	5/1996	Lucas et al.				
		5,647,216	7/1997	Garrett				
		5,673,561	10/1997	Moss				
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
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							YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
			Backhaus, S., Swift, G., "A Thermoacoustic-Stirling Heat Engine: Detailed Study," J. Acoust. Soc. Am. 107(6), Jun. 2000, pp. 3148-3166					
			Backhaus S., Swift, G., "Fabrication and Use of Parallel Plate Regenerators in Thermoacoustic Engines," Proceedings of IECEC '01, 36th Intersociety Energy Conversion Engineering Conference, July 29 - Aug. 2, 2001, Savannah, GA, pp. 1-5					
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,701,743	12/1997	Hagiwara et al.			
		5,813,234	9/1998	Wighard			
		5,857,340	1/1999	Garrett			
		5,901,556	5/1999	Hofler			
		5,953,920	9/1999	Swift et al.			
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
		Wakeland, R., Garrett, S., "Lessons From a Thermoacoustic Refrigeration Demonstration Device," The Pennsylvania State University Applied Research Laboratory, Technical Report No.: TR 98-005, Dec. 1998, pp. 1-117					
		Swift, G., Gardner, D., Backhaus, S., "Acoustic Recovery of Lost Power in Pulse Tube Refrigerators," J. Acoust. Soc. Am. 105(2), Pt. 1, Feb. 1999, pp. 711-724					
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	5,996,345	12/1999	Hofler			
	6,032,464	3/2000	Swift et al.			
	6,059,020	5/2000	Jairazbhoy et al.			
	6,079,214	6/2000	Bishop			

**U.S. PATENT APPLICATION PUBLICATIONS**

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							YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

			Gardner, D. Swift G., "Use of Inertance in Orifice Pulse Tube Refrigerators," Cryogenics 37 (1997), 1997 Elsevier Science Limited, pp. 117-121

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		6,145,320	11/2000	Kim			
		6,233,946	5/2001	Masuda			
		6,307,287	10/2001	Garrett et al.			
		6,314,740	11/2001	De Bloc et al.			
		6,385,972	5/2002	Fellows			
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2001/0025494	10/2001	Sinclair et al.			
		2002/0166325	11/2002	Corey			
		2002/0178736	12/2002	Corey et al.			
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		6,725,670	4/27/2004	Smith et al.	62	6	

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